

TRANSMITTAL LETTER TO THE UNITED STATES
 DESIGNATED/ELECTED OFFICE (DO/EO/US)
 CONCERNING A FILING UNDER 35 U.S.C. 371

Attorney's Docket Number
 08059.0008

U.S. Application No.
 09/719682

International Application. No. PCT/NZ99/00111	International Filing Date July 15, 1999	Priority Date Claimed July 17, 1998
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Title of Invention: Retail Data Manipulation

Applicant For DO/EO/US: Anthony Ross Glen STOLLERY

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. [x] This is a FIRST submission of items concerning a filing under 35 U.S.C. 371.
2. [] This is a SECOND or SUBSEQUENT submission of items concerning a filing under 35 U.S.C. 371.
3. [] This express request to begin national examination procedures (35 U.S.C. 371(f)) at any time rather than delay examination until the expiration of the applicable time limit set in 35 U.S.C. 371(b) and PCT Articles 22 and 39(1).
4. [] A proper Demand for International Preliminary Examination was made by the 19th month from the earliest claimed priority date.
5. [x] A copy of the International Application as filed (35 U.S.C. 371(c)(2))
 - a. [x] is transmitted herewith (required only if not transmitted by the International Bureau).
 - b. [] has been transmitted by the International Bureau.
 - c. [] is not required, as the application was filed in the United States Receiving Office (RO/US).
6. [] A translation of the International Application into English (35 U.S.C. 371(c)(2)).
7. [x] Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3)).
 - a. [] are transmitted herewith (required only if not transmitted by the International Bureau).
 - b. [] have been transmitted by the International Bureau.
 - c. [] have not been made; however, the time limit for making such amendments has NOT expired.
 - d. [x] have not been made and will not be made.
8. [] A translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
9. [] An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).
10. [x] Annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).

Items 11. to 16. below concern other document(s) or information included:

11. [] An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
12. [] An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
13. [] A FIRST preliminary amendment.
14. [] A SECOND or SUBSEQUENT preliminary amendment.
15. [] A substitute specification.
16. [] A change of power of attorney and/or address letter.
16. [x] Other items or information:
 - a. [x] Cover Page of International Publication No. WO00/04472.
 - b. [] Copy of Notification of Missing Requirements.

17. [X] The following fees are submitted: CALCULATIONS

Basic National Fee (37 CFR 1.492(a)(1)-(5)):

Search Report has been prepared by the EPO or JPO.....\$860.00

International preliminary examination fee paid to
USPTO (37 CFR 1.482).....\$690.00

No international preliminary examination fee paid to
USPTO (37 CFR 1.482) but international search fee
paid to USPTO (37 CFR 1.445(a)(2)).....\$760.00

Neither international preliminary examination fee
(37 CFR 1.482) nor international search fee
(37 CFR 1.445(a)(2)) paid to USPTO.....\$1,000.00

International preliminary examination fee paid to USPTO
(37 CFR 1.482) and all claims satisfied provisions
of PCT Article 33(1)-(4).....\$ 100.00

ENTER APPROPRIATE BASIC FEE AMOUNT = \$1000.00

Surcharge of \$130.00 for furnishing the oath or declaration later than
[] 20 [] 30 months from the earliest claimed priority date
(37 CFR 1.492(e)). \$

Claims	Number Filed	Number Extra	Rate	
Total Claims	15-20=		X \$18.00	\$
Independent Claims	4- 3=	1	X \$80.00	\$80.00
Multiple dependent claim(s) (if applicable)			+\$270.00	\$270.00

TOTAL OF ABOVE CALCULATIONS = \$1350.00

Reduction by 1/2 for filing by small entity, if applicable. \$

SUBTOTAL = \$1350.00

Processing fee of \$130.00 for furnishing the English translation later
than [] 20 [] 30 months from the earliest claimed priority date \$
(37 CFR 1.492(f)). +

TOTAL NATIONAL FEE = \$1350.00

Fee for recording the enclosed assignment (37 CFR 1.21(h)). The
assignment must be accompanied by an appropriate cover sheet
(37 CFR 3.28, 3.31). \$40.00 per property + \$

TOTAL FEES ENCLOSED = \$1350.00

Amount to be
refunded \$
charged \$

- a. [X] A check in the amount of **\$1350.00** to cover the above fees is enclosed.
- b. [] Please charge my Deposit Account No. _____ in the amount of
\$ _____
to cover the above fees. A duplicate copy of this sheet is enclosed.
- c. [X] The Commissioner is hereby authorized to charge any additional fees
which may be required, or credit any overpayment to Deposit Account
No. 06-0916. A duplicate copy of this sheet is enclosed.

The Commissioner is hereby authorized to charge any other fees due under 37 C.F.R. §1.16
or §1.17 during the pendency of this application to our Deposit Account No. 06-0916.

END ALL CORRESPONDENCE TO:
innegan, Henderson, Farabow
Garrett & Dunner, L.L.P.
300 I Street, N.W.
Washington, D.C. 20005-3315
WH/FPD/peg

David W. Hill
David W. Hill
Reg. No. 28,220

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RETAIL DATA MANIPULATIONTECHNICAL FIELD

This invention relates to retail data manipulation.

- In particular, this invention relates to improvements to the manipulation of retail data manipulation which allow the data to be used as a promotional tool for retail.

BACKGROUND ART

- With the proliferation of large shopping malls, there is increased competition between the malls to attract shoppers to them. Often what is perceived as necessary to attract shoppers is a mall-wide promotion which involves a large proportion of the shops at the mall, rather than individual shop promotions.

In addition to attracting shoppers to the shopping mall, it is also of course desirable to encourage those shoppers to spend as much money as possible at the shops.

- Unfortunately, conventional promotional methods have become stale and no longer inspire shoppers. It would be desirable if there could be provided a less conventional promotional method that not only attracts shoppers to shopping malls but also has an element which encourages shoppers to spend money there. That is, a promotional system that has the potential to benefit the shoppers geared on their level of spending.

- Other aspects of the retail industry could also benefit from a new promotion tool. For example, shopping chains such as service stations, fast food outlets, and other shopping networks could benefit.

It is an object of the present invention to address the foregoing problems or at least to provide the public with a useful choice.

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Further aspects and advantages of the present invention will become apparent from the ensuing description which is given by way of example only.

DISCLOSURE OF INVENTION

According to one aspect of the present invention there is provided a method of
5 manipulating retail data characterised by the steps of:

- a) entering a purchase amount into an electronic data manipulation system, and
- b) adding a percentage of the purchase amount via the data manipulation system to a jackpot total associated with the method of data manipulation, and
- 10 c) operating a random number generator to trigger a jackpot pay out between a range of funds, and
- d) indicating via the data manipulation system whether the purchase amount triggered the jackpot.

The term purchase amount is defined herein as being an actual purchase amount or a
15 value proportional thereto.

It is envisaged that the present invention may operate using a jackpot system similar to that used with groups of gaming machines linked together in such establishments as bars, clubs and possibly casinos.

The operation of such jackpot schemes is as follows:

- 20 Each machine can run independently according to its original program. Sometimes there is a difference - the percentage pay out of such a machine being less than if it was not connected up to a jackpot scheme.

Each machine incorporates a meter bank which records the turnover of the

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gaming machine. Therefore current jackpot schemes are set up to count these turnover meter increments.

The jackpot scheme uses an electronic device that intercepts a signal from the machine to the meter bank. The number of pulses sent by the game machine to the meter bank is proportional to the amount of money wagered on the gaming machine. Therefore, current jackpot schemes are set up to extract a small percentage of the turnover increment (say 3%) which is used to generate an amount to be displayed in a jackpot scheme.

In some embodiments of this scheme there may be applied a multiplication factor which takes into account that machines play different value games.

These jackpot schemes often have two or more value jackpot prizes running whereby the incoming contribution is divided among several prize pools, some of which may not be visible to the players until a prize is struck, at which point they replace the awarded prize. To keep interest in the jackpots high, a proportion of the signal may also be reserved to provide a back up value so that when a jackpot is struck, this means that the awarded prize does not start incrementing from zero, thus retaining player interest.

For example, 40% of the intercepted pulses may go to the major jackpot face value, 30% may go to a minor jackpot face value, 20% may go to a major backup jackpot value, and 10% may go to a minor backup value.

Such a scheme as described above can be adapted in accordance with some embodiments of the present invention adapted for use in retail situations as described.

With the present invention, instead of gaming machines however, the contribution to the jackpot scheme is derived from the amount of a retail purchase which is

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made.

Physically, this could be achieved by having a direct connection from an electronic till to the jackpot system controller.

However, in preferred embodiments it is envisaged that the present invention will
5 employ a dedicated terminal which is installed into each retail outlet and is tied to the jackpot system controller through some type of communication medium.

For example, there may be a separate electronic device on the counter.

The separate device may have a key pad or some other input device (perhaps swipe card, infrared scanner, or the like) which enables either the purchaser or the retailer
10 to input the purchase amount.

The proportion of the purchase that the retailer contributes to the jackpot may be a set amount (say 3%) or may be any amount that the retailer is prepared to contribute. For example, retailers within a shopping mall may contribute different percentages of purchase prices to the jackpot. Those retailers can then advertise this differing
15 contribution. For example, a retailer that contributes 6% of the purchase price may advertise to the consumer that they offer double the chances of striking the jackpot than a retailer contributing only 3%.

When a contributed value from the device causes the jackpot total to reach the total chosen by the random number generator, then the jackpot is struck by the customer
20 who made the purchase. It is envisaged that when this occurs that this will be broadcast to the retail establishment at large. For example, to the store where the purchase is made and possibly to the shopping mall. The means by which this is indicated may be varied, possibly flashing lights, a large screen display or even an audible alarm.

25 Not only does this provide immediate gratification to the purchaser, but also

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acts to alert potential purchasers, perhaps inspiring them to a shopping frenzy.

The applicant has recognised that the best way to encourage and motivate people to participate in any activity is to provide the potential and incentive for them to get something for nothing or to win a prize. Obviously, the bigger the prize, the better
5 the incentive. However, there are two other critical components necessary before a promotion can be assured of a success.

The first of those is for the customer to witness that prizes (irrespective of value) are being won frequently.

The second is that there is an element of instant gratification.

- 10 Therefore, to motivate potential customers to firstly participate in promotion and then to retain their interest or stimulate more vigorous participation, the following key elements of the present invention have been incorporated. These are adequate incentive, high activity band and instant gratification.

1) Adequate incentive

- 15 The customer must be attracted to the promotion sufficiently for them to go out of their way to participate and not go to what may be possibly a more conveniently located competitor.

2) High Activity Band

- Any promotion that offers prizes must be seen to be delivering these prizes.
20 The promotion prizes must be clearly visible to the customer and create an intense desire within the customer to obtain these prizes by participating. The preferred embodiments of the present invention the jackpot sum is displayed to all shoppers as discussed previously.

3) Instant Gratification

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In today's fast moving world customers want services as quickly as they possibly can have it. Responding to these customer demands - companies now place high priorities in fast convenient service. In other words they are striving to ultimately achieve an objective of instant gratification for the customer. For a promotion to be successful this too is a critical component to strive for.

With the present invention, the retail data manipulation, is such that instant gratification has been achieved through real time processing.

Promotions in the past have required customers to wait hours, days, weeks, and in some cases months, before a promotion is complete and a draw is conducted. For example, raffles. Customers may initially be attracted to these promotions, but quickly lose interest in them in that motivation to continue to participate. Eventually the promotions attraction value diminishes to a point where it simply fizzles out. This promotion has failed to deliver the convenience and speed of service that customers now demand.

It should be apparent now that the present invention addresses and remedies inherent problems associated with operating promotions through a system of retail data manipulation. It can successfully deliver all three capital ingredients to ensure that promotions are not only attracted to customers initially, but retain or increases attraction throughout the entire life of the promotion.

The present invention also addresses problems facing retailers by providing "good value for money".

It is difficult for retailers to determine whether traditional methods of retailing promotions are effective with regard to how much the campaign costs and how much business it would have got anyway without the campaign.

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It can be seen with the present invention that retailers have control over the amount of money they spend by assigning a percentage of the purchase price to the jackpot total. Thus, the present invention provides a far more quantifiable approach for retailers.

- 5 The jackpot can be arrived at by a variety of means, but in preferred embodiments the initial amount is a fund contributed to by the retail outlets in the mall or shops in a retail chain.

- This jackpot may be run simultaneously with other jackpots of the same nature which encourages continuous shopping. For example, there may be displayed a value range in which the jackpot may trigger. Shoppers would be advised of the strike parameters when any of the jackpots enter their parameters. With multiple jackpots there is more incentive to shop.
- 10

- In one embodiment of the present inventions, jackpot strike parameters may be set to incorporate multi-level jackpot values simultaneously. One possible apportionment of values may be as provided in the table below.
- 15

Jackpot Number	Strike Parameters
1	\$50 - \$500
2	\$501 - \$2500
3	\$2501 - \$5000
4	\$50001 - \$10000
5	\$10001 - \$25000

It can be seen that this invention has sufficient novelty (the use of a game of chance) to attract consumers to particular retail area.

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Further, it should be appreciated that the present invention encourages consumers to spend more. This is because the number of entries that the consumer has into the game of chance is proportional to the amount of money spent by the consumer.

- It should be appreciated that this aspect of the present invention need not only be used in shopping malls but can be used in any particular retail outlet or any other outlet (even including the Internet) where purchases are made.

Thus, the system has the advantage of providing incentive for consumers to purchase items which now carries with it the possibility of winning a large sum of money, and to be told of the winnings rapidly at point of sale.

10 BRIEF DESCRIPTION OF DRAWINGS

Further aspects of the present invention will become apparent from the following description which is given by way of example only and with reference to the accompanying drawings in which:

Figure 1 shows a schematic of the process followed in the present invention.

15 BEST MODES FOR CARRYING OUT THE INVENTION

Stage 1 is the purchaser or retailer entering the purchase price into the electronic jackpot system.

Stage 2 is the system calculating a percentage of the purchase price which is then added to a jackpot total.

- 20 Stage 3 is the stage of comparing the now current jackpot total with a total chosen by a random number generator.

At Stage 4, if the total exceeds that chosen by the generator, the alarm goes off and the jackpot awarded in Stage 6. If no match, then that purchase amount is just

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added to the jackpot total as in Stage 5.

Aspects of the present invention have been described by way of example only and it should be appreciated that modifications and additions may be made thereto without departing from the scope of the appended claims.

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THE CLAIMS DEFINING THE INVENTION ARE:

1. A method of manipulating retail data characterised by the steps of:
 - (a) entering a purchase amount into electronic data manipulation system, and
 - (b) adding a percentage of the purchase amount via the data manipulation system to a jackpot total associated with the method of data manipulation, and
 - (c) operating a random number generated to trigger a jackpot pay-out between a range of funds, and
 - (d) indicating via the data manipulation system whether the purchase amount triggered the jackpot.
2. A method as claimed in claim 1 wherein the jackpot system is similar to that used with linked gaming systems.
3. A method as claimed in either claim 1 or claim 2 which includes the use of a dedicated terminal.
4. A method as claimed in claim 3 wherein the dedicated terminal has an input device which enables either the purchaser or retailer to input the purchase amount into the data manipulation system.
5. A method as claimed in any one of claims 1 to 4 which allows for varying contributions by retailers.
6. A method as claimed in any one of claims 1 to 5 wherein the triggering of the jackpot is broadcast to the retail establishment.

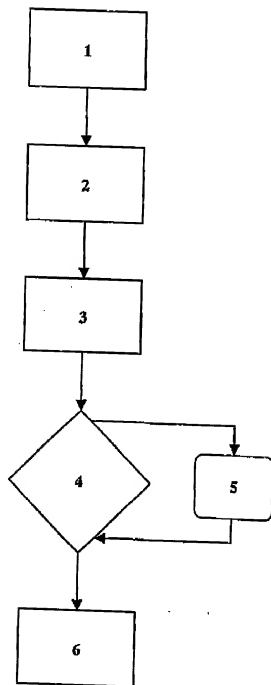
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7. A method as claimed in any one of claims 1 to 6 which uses real time processing.
8. A method as claimed in any one of claims 1 to 7 which provides a display of the value range in which the jackpot may be struck.
9. A method as claimed in any one of claims 1 to 7 which incorporates multiple jackpots.
10. A data manipulation system for utilising the method as claimed in any one of claims 1 to 9.
11. A dedicated terminal for utilising the method as claimed in any one of claims 1 to 9.
12. A dedicated terminal for use of data manipulation systems as claimed in claim 10.
13. A method substantially as herein described with reference to and as illustrated by the accompanying drawings.
14. A data manipulation system substantially as herein described and as discussed in the specification.
15. A dedicated terminal substantially as herein described with reference to the accompanying description.

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Fig. 1

ANNEXES

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THE CLAIMS DEFINING THE INVENTION ARE:

1. A method of manipulating retail data characterised by the steps of:
 - (a) entering a purchase amount into a dedicated terminal of an electronic data manipulation system, and
 - (b) adding a percentage of the purchase amount via the data manipulation system to a jackpot total associated with the method of data manipulation, and
 - (c) as a direct result of and subsequent to step (a), operating a random number generator to select a win or no win condition, wherein a win condition offers a jackpot pay-out between a range of funds, and
 - (d) immediately indicating via the data manipulation system whether the purchase amount selected a win condition.
2. A method as claimed in claim 1 wherein the jackpot system is similar to that used with linked gaming systems.
3. A method as claimed in either claim 1 or claim 2 wherein the dedicated terminal has an input device which enables either the purchaser or retailer to input the purchase amount into the data manipulation system.
4. A method as claimed in any one of claims 1 to 3 which allows for varying contributions by retailers.
5. A method as claimed in any one of claims 1 to 4 wherein the triggering of the jackpot is broadcast to the retail establishment.
6. A method as claimed in any one of claims 1 to 5 which uses real time processing.

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7. A method as claimed in any one of claims 1 to 6 which provides a display of the value range in which the jackpot may be struck.
8. A method as claimed in any one of claims 1 to 6 which incorporates multiple jackpots.
9. A data manipulation system for utilising the method as claimed in any one of claims 1 to 8.
10. A dedicated terminal for utilising the method as claimed in any one of claims 1 to 8.
11. A dedicated terminal for use of data manipulation systems as claimed in claim 9.
12. A method substantially as herein described with reference to and as illustrated by the accompanying drawings.
13. A data manipulation system substantially as herein described and as discussed in the specification.
14. A dedicated terminal substantially as herein described with reference to the accompanying description.

Attorney Docket No.: 08059.0008

DECLARATION AND POWER OF ATTORNEY

As a below named inventor, I hereby declare that: My residence, post office address and citizenship are as stated below next to my name; I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled:

RETAIL DATA MANIPULATION

the specification of which:

is attached hereto; or

was filed as United States Application Serial No. _____
on December 15, 2000, and was amended on _____
(if applicable); or

was filed as PCT International Application Number PCT/NZ99/00111
on July 15, 1999, and was amended on June 8, 2000
(if applicable).

I hereby state that I have reviewed and understand the contents of the above-identified specification, including the claims, as amended by any amendment referred to above. I acknowledge the duty to disclose information which is material to patentability as defined in 37 CFR § 1.56.

I hereby claim foreign priority benefits under 35 U.S.C. § 119(a)-(d) or § 365(b) of any foreign application(s) for patent or inventor's certificate or § 365(e) of any PCT international application(s), designating at least one country other than the United States, listed below and have also identified below any foreign application(s) for patent or inventor's certificate, or any PCT international application(s) having a filing date before that of the application(s) of which priority is claimed:

Country	Application Number	Date of Filing	Priority Claimed Under 35 U.S.C. 119
New Zealand	331035	July 17, 1998	<input checked="" type="checkbox"/> YES <input type="checkbox"/> NO
			<input type="checkbox"/> YES <input type="checkbox"/> NO

I hereby claim the benefit under 35 U.S.C. § 119(e) of any United States provisional application(s) listed below:

Application Number	Date of Filing

I hereby claim the benefit under 35 U.S.C. § 120 of any United States application(s) or § 365(c) of any PCT international application(s) designating the United States, listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States or PCT international application(s) in the manner provided by the first paragraph of 35 U.S.C. § 112, I acknowledge the duty to disclose information which is material to patentability as defined in 37 CFR § 1.56 which became available between the filing date of the prior application(s) and the national or PCT international filing date of this application:

Application Number	Date of Filing	Status (Patented, Pending, Abandoned)

Attorney Docket No.: 06059,0008

I hereby appoint the following attorney and/or agent(s) to prosecute this application and transact all business in the Patent and Trademark Office connected therewith. FINNEGAN, HENDERSON, FARABOW, GARRETT & DUNNER, L.L.P., Reg. No. 22,540; Douglas B. Henderson, Reg. No. 20,291; Ford F. Farabow, Jr., Reg. No. 20,630; Arthur B. Garrett, Reg. No. 20,338; Donald R. Dunner, Reg. No. 19,073; Brian G. Brunsvoild, Reg. No. 22,593; Tipton D. Jennings IV, Reg. No. 20,545; Jerry D. Voight, Reg. No. 23,020; Laurence R. Hefter, Reg. No. 20,827; Kenneth E. Payne, Reg. No. 23,098; Herbert H. Mintz, Reg. No. 26,691; C. Larry O'Rourke, Reg. No. 25,014; Albert J. Santorali, Reg. No. 22,610; Michael C. Elmer, Reg. No. 26,857; Richard H. Smith, Reg. No. 20,609; Stephen L. Peterson, Reg. No. 26,325; John M. Romary, Reg. No. 26,831; Bruce C. Zoller, Reg. No. 27,690; Dennis P. O'Reilly, Reg. No. 27,932; Allen M. Sokol, Reg. No. 29,698; Robert D. Bajajsky, Reg. No. 26,367; Richard L. Stroup, Reg. No. 28,478; David W. Hill, Reg. No. 28,220; Thomas L. Irving, Reg. No. 28,619; Charles E. Lipsey, Reg. No. 28,165; Thomas W. Winland, Reg. No. 27,605; Basil J. Lewis, Reg. No. 28,818; Martin I. Puchs, Reg. No. 28,508; E. Robert Yoches, Reg. No. 30,120; Bony W. Graham, Reg. No. 28,824; Susan Haberman Griffen, Reg. No. 30,907; Richard B. Racine, Reg. No. 30,415; Thomas H. Jenkins, Reg. No. 30,857; Robert E. Converse, Jr., Reg. No. 27,432; Clair X. Mullen, Jr., Reg. No. 20,348; Christopher P. Foley, Reg. No. 31,354; John C. Paul, Reg. No. 30,413; David M. Kelly, Reg. No. 30,853; Kenneth J. Meyers, Reg. No. 25,146; Carol P. Einaudi, Reg. No. 32,220; Walter Y. Boyd, Jr., Reg. No. 31,738; Steven M. Anzalono, Reg. No. 32,095; Jean B. Fordis, Reg. No. 32,984; Barbara C. McCurdy, Reg. No. 32,120; James K. Hammond, Reg. No. 31,984; Richard V. Burgusian, Reg. No. 31,744; J. Michael Jakes, Reg. No. 32,824; Dirk D. Thomas, Reg. No. 32,600; Thomas W. Banks, Reg. No. 32,719; Christopher P. Isaac, Reg. No. 32,818; Bryan C. Diner, Reg. No. 32,409; M. Paul Barker, Reg. No. 32,013; Andrew Chantho Sonu, Reg. No. 33,457; David S. Forman, Reg. No. 33,694; Vincent P. Kovalick, Reg. No. 32,887; James W. Edmondson, Reg. No. 33,871; Michael R. McGurk, Reg. No. 32,045; Joann M. Neff, Reg. No. 38,363; Gerson S. Panitch, Reg. No. 33,751; Cheryl M. Taylor, Reg. No. 33,216; Charles E. Van Horn, Reg. No. 40,296; and Linda A. Wadler, Reg. No. 33,218; Jeffrey A. Berkowitz, Reg. No. 38,743; Michael R. Kelly, Reg. No. 33,921; James B. Monroe, Reg. No. 33,971; Doris Johnson Hines, Reg. No. 34,828; Allen R. Jensen, Reg. No. 28,224; Lori Ann Johnson, Reg. No. 34,498; and David A. Manspeizer, Reg. No. 37,540 and Please address all correspondence to FINNEGAN, HENDERSON, FARABOW, GARRETT & DUNNER, L.L.P., 1300 I Street, N.W., Washington, D.C. 20005, Telephone No. (202) 408-4000.

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application or any patent issuing thereon.

Full Name of first Inventor	Inventor's Signature <input checked="" type="checkbox"/>	Date <input checked="" type="checkbox"/>
Anthony Ross Glen STOLLERY	<i>Anthony Stollery</i>	26-01-01
Residence	Country of Citizenship	
Hamilton, New Zealand NZX	New Zealand	
Post Office Address		
150 Lake Crescent, Hamilton, New Zealand		